

## New Surveyor - Evaluation Worksheet/Guidance

Name:	Region and Phone #:
Supervisor:	Current Date:
Current Position:	Start Date:

Directions: You may adapt this checklist to accommodate any provider type and/or state regulations. The expectation is that not each task and objective would be covered each survey. In the first column, indicate if the new surveyor observed (O), required assistance to complete (R/A), or completed independently (I). For any task requiring assistance (R/A), please include specific comments regarding what assistance was needed. Indicate N/A in the space if it does not apply.

Competencies and Objectives	Performance Analysis/Strengths/Concerns/Comments
Professionalism and Customer Relations:	
Demonstrates good communication skills, professionalism, and high ethical standards	
<ul style="list-style-type: none"> <li>Demonstrates a positive attitude in working with State Agency staff, provider/agency staff, and patients/clients/residents</li> </ul>	
<ul style="list-style-type: none"> <li>Demonstrates dependability, professionalism, and integrity in the performance of job functions</li> </ul>	
<ul style="list-style-type: none"> <li>Performs job functions with respect to co-workers, associates, providers/agencies, and patients/clients/residents</li> </ul>	
<ul style="list-style-type: none"> <li>Demonstrates knowledge of and follows State Agency policies and procedures in the performance of job functions</li> </ul>	
<ul style="list-style-type: none"> <li>Demonstrates organizational and time management skills</li> </ul>	

## New Surveyor - Evaluation Worksheet/Guidance

Competencies and Objectives	Performance Analysis/Strengths/Concerns/Comments
<ul style="list-style-type: none"> <li>• Demonstrates good communication skills, verbally and in writing; able to present information (findings) in a clear, understandable, and logical manner</li> </ul>	
<ul style="list-style-type: none"> <li>• Focuses on compliance issues during compliance evaluations</li> </ul>	
<ul style="list-style-type: none"> <li>• Maintains confidentiality of information</li> </ul>	
<ul style="list-style-type: none"> <li>• Completes all necessary reports, survey, and others that are required as part of job responsibilities</li> </ul>	
Provider/Agency/Supplier Compliance Evaluations:	
Demonstrates ability to conduct compliance evaluations in accordance with applicable procedures; is self-directed in following survey protocol and State Agency policies and procedures	
<ul style="list-style-type: none"> <li>• Completes off-site evaluations as indicated by survey/licensure protocols</li> </ul>	
<ul style="list-style-type: none"> <li>○ Uses information from data reports in planning compliance evaluations and investigations</li> </ul>	
<ul style="list-style-type: none"> <li>○ Uses other resources as appropriate</li> </ul>	
<ul style="list-style-type: none"> <li>○ Uses information in agency files</li> </ul>	
<ul style="list-style-type: none"> <li>• Presents self in a professional manner when entering a facility/agency</li> </ul>	
<ul style="list-style-type: none"> <li>○ Sets a positive tone</li> </ul>	

### New Surveyor - Evaluation Worksheet/Guidance

Competencies and Objectives	Performance Analysis/Strengths/Concerns/Comments
<ul style="list-style-type: none"> <li>○ Provides information about the purpose of the compliance evaluation process.</li> </ul>	
<ul style="list-style-type: none"> <li>○ Avoids bias or the appearance of bias</li> </ul>	
<ul style="list-style-type: none"> <li>• Avoids conflicts of interest</li> </ul>	
<ul style="list-style-type: none"> <li>• Demonstrates knowledge of applicable survey protocols, regulations, administrative codes, and statutory requirements</li> </ul>	
<ul style="list-style-type: none"> <li>• Demonstrates ability to identify and validate non-compliance issues</li> </ul>	
<ul style="list-style-type: none"> <li>• Demonstrates knowledge of the special needs/concerns related to special populations that reside in or are cared for by providers/agencies/suppliers</li> </ul>	
<ul style="list-style-type: none"> <li>• Demonstrates knowledge of the regulations and laws that apply to the areas of compliance evaluation responsibilities and the basis for the authority to evaluate provider and suppliers compliance</li> </ul>	
<ul style="list-style-type: none"> <li>• Is open-minded, allowing all relevant information to be evaluated in decision making</li> </ul>	
<ul style="list-style-type: none"> <li>• Focuses on health and safety, quality of care, and quality of life issues rather than on minute concerns that have little effect on resident/patient/client outcomes</li> </ul>	

## New Surveyor - Evaluation Worksheet/Guidance

Competencies and Objectives	Performance Analysis/Strengths/Concerns/Comments
Works cooperatively as a member of the State Agency's regulatory/enforcement/compliance evaluation team in meeting the State Agency's goals and objectives; demonstrates professionalism and accountability in the performance of job functions	
<ul style="list-style-type: none"> <li>Is able to perform assigned functions independently, or with minimal guidance from others</li> </ul>	
<ul style="list-style-type: none"> <li>Is able to work cooperatively and effectively under the direction of the Team Coordinator</li> </ul>	
Investigative Skills:	
Thoroughly investigates and clearly documents issues of non-compliance; demonstrates good investigation skills including planning, developing, and documenting an effective investigation.	
<ul style="list-style-type: none"> <li>Demonstrates thorough and accurate information gathering skills; uses proper protocol</li> </ul>	
<ul style="list-style-type: none"> <li>Solicits information effectively from residents and staff to validate concerns</li> </ul>	
<ul style="list-style-type: none"> <li>Focuses and, as necessary, redirects investigation efforts; is able to expand and end an investigation as appropriate</li> </ul>	
<ul style="list-style-type: none"> <li>Investigates concerns properly using multiple sources of information and evidence when necessary to support a deficient practice or to verify that the facility is in compliance</li> </ul>	

## New Surveyor - Evaluation Worksheet/Guidance

Competencies and Objectives	Performance Analysis/Strengths/Concerns/Comments
<ul style="list-style-type: none"> <li>• Demonstrates well-developed observational, listening, interviewing, and record reviewing skills</li> </ul>	
<ul style="list-style-type: none"> <li>• Makes adequate, proper, and verifiable observations</li> </ul>	
<ul style="list-style-type: none"> <li>• Conducts and documents interviews appropriately</li> </ul>	
<ul style="list-style-type: none"> <li>• Focuses record reviews and uses information to validate compliance and non-compliance issues as necessary</li> </ul>	
<ul style="list-style-type: none"> <li>• Performs information gathering and investigations within the context of the regulations and applicable policies and procedures</li> </ul>	
<ul style="list-style-type: none"> <li>• Demonstrates decision making that is consistent with survey protocol, accepted standards of practice, and state and federal guidelines; demonstrates good decision making ability in identification of scope/frequency of occurrences in the context of what the regulations require</li> </ul>	
<ul style="list-style-type: none"> <li>• Documents findings clearly, concisely, accurately, and is consistent with state and Federal guidelines; uses good documentation technique; does not rely on memory for findings</li> </ul>	
<ul style="list-style-type: none"> <li>• Prepares a case file related to statements of deficient practice/violations of state or Federal requirements in accordance with State Agency policies and principles of investigation</li> </ul>	

## New Surveyor - Evaluation Worksheet/Guidance

Competencies and Objectives	Performance Analysis/Strengths/Concerns/Comments
Evaluation and Decision Making:	
Is able to synthesize the information obtained through investigation in a logical, organized manner.	
<ul style="list-style-type: none"> <li>Relies on fact to make decisions</li> </ul>	
<ul style="list-style-type: none"> <li>Is able to determine relevant findings, and uses only those findings that relate to the requirement not being met</li> </ul>	
<ul style="list-style-type: none"> <li>In concert with other team members and individually, is able to select the most appropriate regulation based on the facts of the case</li> </ul>	
<ul style="list-style-type: none"> <li>With team and/or individually, is able to determine whether manner and degree of non-compliance represents condition-level non-compliance, and also whether there is an immediate jeopardy</li> </ul>	
Principles of Documentation:	
Follows <i>Principles of Documentation</i> and the Non-Long Term Care citing guidelines when writing citations	
<ul style="list-style-type: none"> <li>Uses the 'Documentation Review Tool' to assure quality and accuracy when writing a citation. (<a href="#">State Operations Manual Exhibit 7A-Appendix A</a>)</li> </ul>	
<ul style="list-style-type: none"> <li>Documents findings, conclusions, and narrative reports so that they can be understood by others</li> </ul>	